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# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	09/779,114
Filing Date	February 8, 2001
First Named Inventor	Lawrence P. Shields
Group Art Unit	Not yet assigned
Examiner Name	Not yet assigned
Attorney Docket Number	4034-57

## ENCLOSURES (check all that apply)

- ☐ Fee Transmittal Form
  - ☐ Fee Attached
- ☐ Petitions to the Commissioner
- ☐ Request For Corrected Filing Receipt With A Copy Of the Official Receipt
- ☐ Amendment/Reply
  - ☐ After Final
  - ☐ Affidavits/declaration(s)
- ☐ Extension of Time Request
- ☒ Information Disclosure Statement
  - ☒ Form PTO-1449 34 References
- ☐ Certified Copy of Priority Document(s)
- ☐ Response to Missing Parts/Incomplete Application
  - ☐ Response to Missing Parts under 37 CFR 1.52 or 1.53
- ☐ Petition to Make Special
  - ☐ Statement pertaining to pre-examination search; and
  - ☐ Detailed discussion of the references submitted with the Information Disclosure Statement

- ☐ Assignment Papers (for an Application)
- ☐ Drawing(s) - \_\_ Sheets
- ☐ Licensing-related Papers
- ☐ Petition
- ☐ Petition Routing Slip (PTO/SB/69) and Accompanying Petition
- ☐ Petition to Convert to a Provisional Application
- ☐ Power of Attorney, Revocation Change of Correspondence Address
- ☐ Terminal Disclaimer
- ☐ Small Entity Statement
- ☐ Request for Refund
- ☐ CD, Number of CD(s) \_\_\_\_\_
- ☐ Express Abandonment Request

- ☐ After Allowance Communication to Group
- ☐ Appeal Communication to Board of Appeals and Interferences
- ☐ Appeal Communication Group (Appeal Notice, Brief, Reply Brief)
- ☐ Proprietary Information
- ☐ Status Letter
- ☐ Withdrawal of attorney as Attorney or Agent
- ☒ Other Enclosure(s) (please identify below):

Return Receipt Postcard

Remarks

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Leslie Gladstone Restaino, Reg. No. 38,893
Signature	<i>Leslie Gladstone Restaino</i>
Date	May 8, 2001

## CERTIFICATE OF MAILING

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THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Lawrence P. Shields et al. Docket No.: 4034-57  
Serial No.: 09/779,114 Group Art Unit: Not yet assigned  
Filed: February 8, 2001 Examiner: Not yet assigned

For: **SYSTEM AND METHOD FOR EXECUTION  
OF TRADES MADE PURSUANT TO STOCK  
OPTION AND PURCHASE PLANS**

Assistant Commissioner for Patents  
Washington, D.C. 20231

May 8, 2001

**INFORMATION DISCLOSURE STATEMENT  
UNDER 37 CFR §1.97(b)**

Sir:

In accordance with the duty of disclosure under 37 CFR §1.56, Applicant hereby notifies the U.S. Patent and Trademark Office of the following documents, which are listed on the attached PTO-1449A Form. The Examiner may deem these documents to be relevant to patentability of the claims of the above-identified application. A copy of each of the documents is enclosed for convenience of the Examiner.


The submission of the listed documents is not intended as an admission that any of the documents constitutes prior art against the claims of the present application. Applicants do not waive any right to take any action that would be appropriate to antedate or otherwise remove any listed document as a competent reference against the claims of the present application.

Applicants respectfully request that the listed documents be considered by the Examiner and be made of record in the present application and that an initialed copy of Form PTO-1449A be returned in accordance with MPEP §609.

It is understood that no fee is necessary for submission of this Information Disclosure Statement, as it is being filed before the later of three months from the filing date or the mailing of the first Office action on the merits.

The Commissioner is hereby authorized to charge payment of any fees associated with this application or credit any overpayment to Deposit Account 02-4270.

Respectfully submitted,



Leslie Gladstone Restaino

Reg. No.: 38,893

Attorney for Applicant

Brown Raysman Millstein Felder & Steiner LLP  
55 Madison Avenue, 4<sup>th</sup> Floor  
Morristown, New Jersey 07960  
(973) 285-3242

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*Signature of person signing the certification*

Marcy H. Mancuso

*Printed or typed name of the person signing the certificate*

May 8, 2001

*Date*

Substitute for form 1449 PTO

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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet 1 of 3

**Complete if Known**

Application Number	09/779,114
Filing Date	February 8, 2001
First Named Inventor	Lawrence P. Shields
Group Art Unit	Not yet assigned
Examiner Name	Not yet assigned
Attorney Docket Number	4034-57

**U.S. PATENT DOCUMENTS**

Examiner Initials	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			
		4,346,442		MUSMANNO, Thomas	08/24/1982	
		4,376,978		MUSMANNO, Thomas	03/15/1983	
		4,566,066		TOWERS, Frederic	01/21/1986	
		4,597,046		MUSMANNO, Thomas, et al	06/24/1986	
		4,648,037		VALENTINO, James	03/03/1987	
		4,674,044		KALMUS, Leslie, et al.	06/16/1987	
		4,751,640		LUCAS, Barbara, et al.	06/14/1988	
		4,774,663		MUSMANNO, Thomas, et al	09/27/1988	
		4,823,265		NELSON, George	04/18/1989	
		4,953,085		ATKINS, Charles	08/28/1990	
		4,989,141		LYONS, Richard, et al.	01/29/1991	
		4,994,964		WOLFBERG, Larry, et al.	02/19/1991	
		5,126,936		CHAMPION, Robert, et al.	06/30/1992	

**FOREIGN PATENT DOCUMENTS**

Examiner Initials	Cite No. <sup>1</sup>	U.S. Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)				

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<sup>1</sup> Unique citation designation number. <sup>2</sup> See attached Kinds of U.S. Patent Documents. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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STATEMENT BY APPLICANT

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Sheet

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		Number	Kind Code <sup>2</sup> (if known)			
		5,132,899		FOX, Philip	07/21/1992	
		5,193,056		BOES, R. Todd	03/09/1993	
		5,210,687		WOLFBERG, Larry, et al.	05/11/1993	
		5,214,579		WOLFBERG, Larry, et al.	05/25/1993	
		5,227,967		BAILEY, Stephen	07/13/1993	
		5,233,514		AYYOUBI, Luay, et al.	08/03/1993	
		5,262,942		EARLE, Dennis	11/16/1993	
		5,592,379		FINFROCK, Dale, et al.	01/07/1997	
		5,631,828		HAGAN, Bernard	05/20/1997	
		5,644,727		ATKINS, Charles	07/01/1997	
		5,671,363		CRISTOFICH, John, et al.	09/23/1997	
		5,692,233		GARMAN, Mark	11/25/1997	
		5,758,097		DEBE, A. Joseph, et al.	05/26/1998	

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		Number	Kind Code <sup>2</sup> (if known)			
		5,774,880		GINSBERG, Philip	06/30/1998	
		5,802,500		RYAN, Raymond, et al.	09/01/1998	
		5,832,461		LEON, Tomas, et al.	11/03/1998	
		5,852,811		ATKINS, Charles	12/22/1998	
		5,857,176		GINSBERG, Philip	01/05/1999	
		5,864,828		ATKINS, Charles	01/26/1999	
		5,884,285		ATKINS, Charles	03/16/1999	
		6,173,270		CRISTOFICH, John, et al.	01/09/2001	

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